

Notice of Allowability

Application No.

09/454,978

Applicant(s)

RAYNER ET AL.

Examiner

Art Unit

Alain L. Bashore

1762

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 12-2-05.
2. ☒ The allowed claim(s) is/are 1, 3-7, 11-13, 16, 18-23, 25, 30, 33, 35, 36, 38-41, 46, 47, 51, 53, 54, 60, 64, 66, and 67.
3. ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some* c) ☐ None of the:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.


Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08), Paper No./Mail Date _____
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____


ALAIN L. BASHORE
PRIMARY EXAMINER

DETAILED ACTION

Response to Arguments

Applicant's arguments filed in the appeal brief of record have been fully considered and are persuasive. The previous rejection is hereby withdrawn.

Allowable Subject Matter

1. Claims 1, 3-7, 11-13, 16, 18-23, 25, 30, 33, 35, 36, 38-41, 46, 47, 51, 53, 54, 60, 64, 66, and 67 allowed.

2. The following is an examiner's statement of reasons for allowance:

The present invention includes independent claims 1, 38, 66, 67. Claim 1 recites a method for data management of a financial transaction, claim 38 recites a system for data management of a financial transaction, claim 66 recites a method of operating a computer system for data management of a financial transaction, claim 67 recites a computer system for data management of a financial transaction.

Orddish is considered the closest prior art. Ordish discloses a seller sending an offer to sell a number of items at a given price to a host computer which anonymously broadcasts the offer to all terminals on the host computer network.

Ordish does not disclose the combination including:

In claim 1:

generating a rate quote via at least one of the independently maintained and segregated trading systems consisting of one of an executable rate quote and a category trader's manual rate quote for the proposed financial transaction, wherein the executable rate quote is generated if a first predefined condition for allowing the proposed financial transaction on the basis of the executable rate quote is identified a group of conditions consisting at least in part of a proposed transaction volume not exceeding an available volume and a proposed transaction amount not exceeding a predefined limit, and the category trader's manual rate quote is generated if a second predefined condition for rejecting the proposed financial transaction on the basis of the executable rate quote is identified from a group of conditions consisting at least in part of a proposed transaction volume in excess of an available volume and a proposed transaction amount in excess of a predefined limit and at least in part of a predetermined setting of a request for quote parameter;

automatically prompting the user for a selection of the generated rate quote for the proposed financial transaction via said at least one of the independently maintained and segregated trading systems;

automatically holding the generated rate quote for a predetermined period of time for the user by said at least one of the independently maintained and segregated trading systems;

receiving a request for execution of the proposed transaction for the user in accordance with the selection by the user of the generated rate quote by said at least one of the independently maintained and segregated trading systems over the network via the terminal; and

automatically executing the proposed transaction for the user in accordance with the generated rate quote upon receipt of the request for execution within the predetermined period of time by said at least one of the independently maintained and segregated trading systems.

In claim 38:

each of the independently maintained and segregated trading systems being adapted for generating a rate quote consisting of one of an executable rate quote and a category trader's manual rate quote for the proposed financial transaction, wherein the executable rate quote is generated if a first predefined condition for allowing the proposed financial transaction on the basis of the executable rate quote is identified from a group of conditions consisting at least in part of a proposed

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transaction volume not exceeding an available volume and a proposed transaction amount not exceeding a predefined limit, and the category trader's manual rate quote is generated if a second predefined condition for rejecting the proposed financial transaction on the basis of the executable rate quote is identified from a group of conditions consisting at least in part of a proposed transaction volume in excess of an available volume and a proposed transaction amount in excess of a predefined limit and at least in part of a predetermined setting of a request for quote parameter;

wherein each of the independently maintained and segregated trading systems is further adapted for automatically prompting the user for a selection of the generated rate quote for the proposed financial transaction;

wherein each of the independently maintained and segregated trading systems is also adapted for automatically holding the generated rate quote for a predetermined period of time for the user;

wherein each of the independently maintained and segregated trading systems is additionally adapted for receiving a request for execution of the proposed transaction for the user in accordance with the selection by the user of the generated rate quote over the network via the terminal; and

wherein each of the independently maintained and segregated trading systems is adapted in addition for automatically executing the proposed transaction

for the user in accordance with the generated rate quote upon receipt of the request for execution within the predefined period of time.

In claim 66:

generating a rate quote, via at least one of the independently maintained and segregated trading systems, consisting of one of an executable rate quote and a category trader's manual rate quote for the proposed financial transaction, wherein the executable rate quote is generated if a predefined condition for generating the executable rate quote is identified, wherein the predefined condition for generating the executable rate quote exists if a predefined cause for rejecting the request for the proposed financial transaction is not identified by at least one of a transaction server coupled to the terminal and a rate server coupled to the transaction server, and upon failure to identify the predefined condition for generating the executable rate quote, the category trader's rate quote is generated if a predefined condition for generating the category trader's rate quote is identified, wherein the predefined condition for generating the category trader's rate quote exists if the predefined cause for rejecting the request for the proposed financial transaction is identified and if a predetermined setting of a request for quote parameter corresponding to the identified cause for rejecting the request for the proposed financial transaction is likewise confirmed by at least one of the transaction server and the rate server;

automatically prompting the user at the terminal for a selection of the generated rate quote for the proposed financial transaction via said at least one of the independently maintained and segregated trading systems, wherein the generated rate quote comprises the executable rate quote if the predefined condition for generating the executable rate quote is identified, and wherein upon failure to identify the predefined condition for generating the executable rate quote, the generated rate quote comprises the category trader's rate quote if the predefined condition for generating the category trader's manual rate quote is identified;

automatically holding the generated rate quote for a predetermined period of time for the user by said at least one of the independently maintained and segregated trading systems;

receiving a request by the transaction server via the terminal for execution of the proposed transaction for the user in accordance with the selection by the user of the generated rate quote; and

handing off the request for execution of the proposed transaction by the transaction server to a hand-off server for automatically executing the proposed transaction for the user in accordance with the generated rate quote upon receipt of the request for execution within the predetermined period of time.

In claim 67:

at least one transaction server of each of the independently maintained and segregated trading systems being coupled to the terminal and at least one rate server of each of the independently maintained and segregated trading systems being coupled to the transaction server adapted for generating a rate quote consisting of one of an executable rate quote and a category trader's manual rate quote for the proposed financial transaction, wherein the executable rate quote is generated if a predefined condition is identified, wherein the predefined condition for generating the executable rate quote exists if a predefined cause for rejecting the request for the proposed financial transaction is not identified by at least one of the transaction server and the rate server, and upon failure to identify the predefined condition for generating the executable rate quote, the category trader's rate quote is generated if a predefined condition for generating the category trader's rate quote is identified, wherein the predefined condition for generating the category trader's rate quote exists if the predefined cause for rejecting the request for the proposed financial transaction is identified and if a predetermined setting of a request for quote parameter corresponding to the identified cause for rejecting the request for the proposed financial transaction is likewise confirmed by at least one of the transaction server and the rate server;

each of the independently maintained and segregated trading systems being further adapted for automatically prompting the user via the terminal for a selection of the generated rate quote for the proposed financial transaction, wherein the generated rate quote comprises the executable rate quote if the predetermined condition for generating the executable rate quote is identified, and wherein upon failure to identify the predefined condition for generating the executable rate quote, the generated rate quote comprises the category trader's rate quote if the predefined condition for generating the category trader's rate quote is identified;

a system counter for automatically holding the generated rate quote for a predetermined period of time for the user;

the transaction server being adapted for receiving a request via the terminal for execution of the proposed transaction for the user in accordance with the selection by the user of the generated rate quote; and

the transaction server being adapted for handing off the request for execution of the proposed transaction to a hand-off server for automatically executing the proposed transaction for the user in accordance with the generated rate quote upon receipt of the request for execution within the predefined period of time.

For these reasons claims 1, 38, 66, 67 are deemed to be allowable over the prior art of record, and claims 3-7, 11-13, 16, 18-23, 25, 30, 33, 35, 36, 39-41, 46, 47, 51, 53, 54, 60, 64 are allowable by dependency.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

3. Allowable subject matter may require further review for applications in class 705 before a notice of allowance is mailed to applicant. The time period for review may vary from application to application.


4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Alain L. Bashore whose telephone number is 571-272-6739. The examiner can normally be reached on about 7:30 am to 5:00 pm (Mon. thru Thurs.).

Regarding all Class 705 applications, the management contact regarding examination is: Vincent Millin (SPE, art unit 3624) at 571-272-6747.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Timothy Meeks can be reached on 571-272-1423. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).


Alain L. Bashore
Primary Examiner
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